

**Notice of Allowability**

Application No.

09/998,332

Examiner

Clement B. Graham

Applicant(s)

NORRIS, PAUL

Art Unit

3691

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 9/26/08.
2. ☒ The allowed claim(s) is/are 1-28.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☒ Interview Summary (PTO-413), Paper No./Mail Date 9/20/10
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_

**ALLOWANCE**

**EXAMINER'S AMENDMENT**

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Christopher Tobin September 20, 2010.

The application has been amended as follows:

Claim 1 has been replaced by;

Claim 1, A method for enhancing the liquidity of a tradable security, comprising the steps of: holding an issue of the security; retaining a first portion of the holding by a computer, determining in a computer system when the security is being squeezed; and offering to the market a second portion of the holding during the squeeze other than for the purpose of effecting non-borrowed reserves and to enhance the liquidity of the market for the security.

Claim 10 has been replaced by;

Claim 10, A method for enhancing the liquidity of a tradable security, comprising the steps of: committing to provide a repo facility for the security; issuing the security; in a computer system retaining a first portion of the issuance of the security by a computer; establishing criteria for lending a second portion of the retained first portion of the issuance by a computer; lending the second portion of the issuance of the security pursuant to the criteria other than for the purpose of effecting non-borrowed reserves; re-opening the second portion of the issuance pursuant to the criteria.

Claim 19 has been replaced by;

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Claim 19, A method for enhancing the liquidity of a tradable security by an entity selected from the group consisting of:

a private issuer, a non-treasury entity, a non-governmental entity, and a non-agency entity, said method comprising the steps of, holding an issue of a security; retaining in a computer system a first portion of the holding; determining in a computer system when the security is being squeezed; and offering to the market a second portion of the holding during the squeeze other than for the purpose of effecting non-borrowed reserves and to enhance the liquidity of the market for the security.

Claim 28 has been replaced by;

Claim 28, A method for enhancing the liquidity of a tradable security stored on a computer readable medium for causing a computer to perform the steps comprising: holding an issue of the security; retaining by a computer system a first portion of the holding; determining that the security is being squeezed; and offering to the market a second portion of the holding during the squeeze to enhance the liquidity of the market for the security.

#### Allowable Subject Matter

2. Claims 1-28, are allowable over the art of record.

3. The following is a statement of reasons for indication of allowable subject matter. The prior art fails to teach, or suggest, the limitations of:

“retaining a first portion of the holding by a computer, determining in a computer system when the security is being squeezed; and offering to the market a second portion of the holding during the squeeze”) as recited in instant claims.

Lupien et al (US Patent: 5, 101, 353) taken alone or in combination with others fail to teach or suggest “retaining a first portion of the holding by a computer, determining in a computer system”

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when the security is being squeezed; and offering to the market a second portion of the holding during the squeeze “) as recited in the instant claims.

Dictionary Of Finance (Hereinafter Fourth Edition 1985) taken alone or in combination fail to teach or suggest” retaining a first portion of the holding by a computer, determining in a computer system when the security is being squeezed; and offering to the market a second portion of the holding during the squeeze “) as recited in the instant claims.

(Corrected) Sumitomo Mitsui Banking Cuts 6-Month Group Net Profit Estimate, Jiji Press English News Service. Tokyo: Oct 11, 2001. pg. 1) taken alone or in combinations with others fails to teach or suggest ” retaining a first portion of the holding by a computer, determining in a computer system when the security is being squeezed; and offering to the market a second portion of the holding during the squeeze “as recited in the instant claims.

### **Conclusion**

4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Clement B. Graham whose telephone number is 571-272-6795. The examiner can normally be reached on 7am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner’s supervisor, Alexander Kalinowski can be reached on (571) 272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

**/Alexander Kalinowski/  
Supervisory Patent Examiner, Art  
3691**

CG

Sept 25, 2010